

PATENT

Attorney Docket No.: 26869T-001000US

Client Reference No.: 340100096 US02



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Naoto Matsunami et al.

Application No.: 10/004,131

Filed: October 30, 2001

For: STORAGE SYSTEM HAVING A  
PLURALITY OF CONTROLLERS

Confirmation No.: 8042

Examiner: Eron J. Sorrell

Art Unit: 2182

SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER  
37 CFR §1.97 and §1.98

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the cited foreign patent and non-patent references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

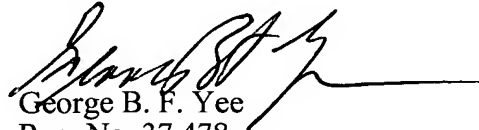
Also enclosed is a copy of a European Search Report dated October 17, 2006 for the corresponding European patent application EP01123459.

As provided for by 37 CFR §1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement.

However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
George B. F. Yee  
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60916684 v1

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

|                        |                  |
|------------------------|------------------|
| Application Number     | 10/004,131       |
| Filing Date            | October 30, 2001 |
| First Named Inventor   | Naoto Matsunami  |
| Art Unit               | 2182             |
| Examiner Name          | Eron J. Sorrell  |
| Attorney Docket Number | 26869T-001000US  |

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|---|--------------------------------|--|---|
|                    | 1                     | US-6,732,104  | 05-04-2004                     | Weber  |   |
|                    | 2                     | US-6,671,776  | 12-30-2003                     | DeKoning   |   |
|                    | 3                     | US-6,640,278  | 10-28-2003                     | Nolan et al.                                       |   |
|                    | 4                     | US-6,606,690  | 08-12-2003                     | Padovano   |   |
|                    | 5                     | US-6,493,804  | 12-10-2002                     | Soltis et al.                                      |   |
|                    | 6                     | US-6,438,646  | 08-20-2002                     | Kitamura et al.                                    |   |
|                    | 7                     | US-5,991,804  | 11-23-1999                     | Bolosky et al.                                     |   |
|                    | 8                     | US-5,917,489  | 06-29-1999                     | Thurlow et al.                                     |   |
|                    | 9                     | US-5,802,366  | 09-01-1998                     | Row et al.   |   |
|                    | 10                    | US-5,548,724  | 08-20-1996                     | Akizawa et al.                                     |   |
|                    |                       |   |                                |  |   |
|                    |                       |   |                                |  |   |
|                    |                       |   |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   |                     |                                   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup>           |
|--------------------|-----------------------|---------------------------|---------------------|-----------------------------------|--------------------------------|--|---|--------------------------|
|                    |                       | Country Code <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup> (if known) |                                |  |   |                          |
|                    | 11                    | EP                        | 1100001             | A                                 | 05-16-2001                     | Sun Microsystems                                   |   | <input type="checkbox"/> |
|                    |                       |                           |                     |                                   |                                |  |   |                          |
|                    |                       |                           |                     |                                   |                                |  |   |                          |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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|---|---|----|---|-------------------------------|------------------|
| Substitute for form 1449B/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    |   | <b>Complete if Known</b>      |                  |
|   |   |    |   | <i>Application Number</i>     | 10/004,131       |
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|   |   |    |   | <i>First Named Inventor</i>   | Naoto Matsunami  |
|   |   |    |   | <i>Art Unit</i>               | 2182             |
|   |   |    |   | <i>Examiner Name</i>          | Eron J. Sorrell  |
| Sheet   | 2 | of | 2 | <i>Attorney Docket Number</i> | 26869T-001000US  |

| NON PATENT LITERATURE DOCUMENTS |                          |   |                          |
|---------------------------------|--------------------------|---|--------------------------|
| Examiner<br>Initials *          | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup>           |
|                                 | 12                       | TOMITA et al. "A scalable, cost-effective, and flexible disk system using high-performance embedded-processors," IEEE Proceedings of the 2000 International Conference on Parallel Processing, pp. 317-326 (August 2000).                                       | <input type="checkbox"/> |
|                                 |                          |   |                          |
|                                 |                          |   |                          |

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|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

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